

Substitute for form 1449A/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 5

## **Complete if Known**

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

## **U.S. PATENT DOCUMENTS\***

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
N/KP	1	2,108,206		02-05-1938	Meeker	
	2	3,378,010		04-16-1969	Codling et al.	
	3	3,671,979		06-27-1972	Moulopoulos	
	4	3,874,338		04-01-1975	King et al.	
	5	4,056,854		11-08-1977	Boretos et al.	
	6	4,297,749		11-03-1981	Davis et al.	
	7	4,484,579		11-27-1984	Meno et al.	
	8	4,809,695		03-07-1989	Gwathmey et al.	
	9	4,917,089		04-17-1990	Sideris	
	10	4,994,077		02-19-1991	Dobben	
	11	5,042,707		08-27-1991	Taheri	
	12	5,049,153		09-17-1991	Nakao et al.	
	13	5,069,679		12-03-1991	Taheri	
	14	5,171,252		12-15-1992	Friedland	
	15	5,209,756		05-11-1993	Seedhom et al.	
	16	5,226,429		07-13-1993	Kuzmak	
	17	5,254,130		10-19-1993	Poncet et al.	
	18	5,332,402		07-26-1994	Teitelbaum	
	19	5,383,886		01-24-1995	Kensey et al.	
	20	5,403,326		04-04-1995	Harrison et al.	
	21	5,411,552		05-02-1995	Anderson et al.	
	22	5,417,700		05-23-1995	Egan	
	23	5,423,858		06-13-1995	Bolanos et al.	
	24	5,423,882		06-13-1995	Jackman et al.	
	25	5,450,860		09-19-1995	O'Connor	
	26	5,478,309		12-26-1995	Sweezer et al.	
	27	5,478,353		12-26-1995	Yoon	
	28	5,520,701		05-28-1996	Lerch	
	29	5,522,873		06-04-1996	Jackman et al.	
	30	5,536,251		07-16-1996	Evard et al.	
	31	5,542,949		08-06-1996	Yoon	
	32	5,554,185		09-10-1996	Block et al.	
	33	5,571,137		11-05-1996	Marlow et al.	
	34	5,571,215		11-05-1996	Sterman et al.	
	35	5,618,306		04-08-1997	Roth et al.	
	36	5,634,932		06-03-1997	Schmidt	
	37	5,640,955		06-24-1997	Ockuly et al.	
	38	5,713,910		02-03-1998	Gordon et al.	
	39	5,716,367		02-10-1998	Koike et al.	
	40	5,718,725		02-17-1998	Sterman et al.	
	41	5,769,812		06-23-1998	Stevens et al.	

Examiner  
Signature

Date  
Considered

12/18/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet **2** of **5****Complete if Known**

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

**U.S. PATENT DOCUMENTS\***

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
NRP	42	5,797,927		08-25-1998	Yoon	
	43	5,797,960		08-25-1998	Stevens et al.	
	44	5,810,847		09-22-1998	Laufer et al.	
	45	5,823,956		10-20-1998	Roth et al.	
	46	5,824,065		10-20-1998	Gross	
	47	5,827,237		10-27-1998	Macoviak et al.	
	48	5,829,447		11-03-1998	Stevens et al.	
	49	5,833,671		11-10-1998	Macoviak et al.	
	50	5,836,955		11-17-1998	Buelna et al.	
	51	5,840,081		11-24-1998	Anderson et al.	
	52	5,855,614		01-05-1999	Stevens et al.	
	53	5,879,307		03-09-1999	Chio et al.	
	54	5,885,271		03-23-1999	Hamilton et al.	
	55	5,928,224		07-27-1999	Laufer	
	56	5,947,363		09-07-1999	Bolduc et al.	
	57	5,954,732		09-21-1999	Hart et al.	
	58	5,980,455		11-09-1999	Daniel et al.	
	59	5,989,284		11-23-1999	Laufer, Michael D.	
	60	6,019,722		02-01-2000	Spence et al.	
	61	6,117,144		09-12-2000	Nobles et al.	
	62	6,165,183		12-26-2000	Kuehn et al.	
	63	6,210,432		04-03-2001	Salem et al.	
	64	6,269,819		08-07-2001	Oz et al.	
	65	6,306,133		10-23-2001	Tu et al.	
	66	6,312,447		11-06-2001	Grimes, Randall Y.	
	67	6,355,030		03-12-2002	Aldrich et al.	
	68	6,461,366 B1		10-08-2002	Seguin	
	69	US-2002/0087148		07-04-2002	Brock et al.	
	70	US-2002/0087169		07-04-2002	Brock et al.	

6,629,534

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
NRP	71	DE	3504292		07-24-1986	Hiltebrandt et al.		<input type="checkbox"/>
	72	EP	558031		09-01-1993	Green et al.		<input type="checkbox"/>
	73	EP	179562		07-12-1989	Fisher et al.		<input type="checkbox"/>
	74	EP	684012	A2	02-16-1995	Konrad et al.		<input type="checkbox"/>
	75	GB	2151142		07-17-1985	Bonnet		<input type="checkbox"/>
	76	GB	1598111		09-16-1981	Davis et al.		<input type="checkbox"/>

Examiner  
Signature

Natalie P...

Date  
Considered

12/18/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 3 of 5

## Complete if Known

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
NRP	77	JP	11089937		06-04-1999	Atsuo et al.		<input type="checkbox"/>
	78	WO	81/00668		03-19-1981	Jansen		<input type="checkbox"/>
	79	WO	91/01689		02-21-1991	Segalowitz		<input type="checkbox"/>
	80	WO	92/12690		08-06-1992	Love et al.		<input type="checkbox"/>
	81	WO	94/18881		09-01-1994	Sterman et al.		<input type="checkbox"/>
	82	WO	94/18893		09-01-1994	Fitton et al.		<input type="checkbox"/>
	83	WO	97/39688		10-30-1997	Laufer et al.		<input type="checkbox"/>
	84	WO	98/07375		02-26-1998	Michler et al.		<input type="checkbox"/>
	85	WO	98/30153		07-16-1998	Gardiner et al.		<input type="checkbox"/>
	86	WO	98/35638		08-20-1998	Laufer		<input type="checkbox"/>
	87	WO	99/00059		01-07-1999	Oz et al.		<input type="checkbox"/>
	88	WO	99/01377		01-14-1999	Todarello		<input type="checkbox"/>
	89	WO	99/07354		02-15-1999	Duhaylongsod		<input type="checkbox"/>
	90	WO	00/03759		01-27-2000	Kuehn et al.		<input type="checkbox"/>
	91	WO	01/28432	A1	04-26-2001	Allen et al.		<input type="checkbox"/>
	92	WO	01/26557	A1	04-19-2001	Grimes		<input type="checkbox"/>

Examiner Signature

Natalia Pau

Date Considered

12/18/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

60136590 v1

Substitute for form 1449B/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 4 of 5

## Complete if Known

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
NR	93	Abe et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1989) 48:670-676.	
	94	Abe et al., "Updated: De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1996) 62:1876-1877.	
	95	Alvarez et al., "Repairing the degenerative mitral valve: Ten- to fifteen-year follow-up" J. Thorac. Cardiovasc. Surg. (1996) 112:238-247.	
	96	Bach et al., "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy" Am. Heart J. (1995) 129:1165-1170.	
	97	Bach et al., "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty" Am. J. Cardiol. (1996) 78:966-969.	
	98	Bailey, "Surgery of the Heart" Chapter 20 (1995) pp. 686-737.	
	99	Bolling et al., "Surgery for acquired heart disease" (1995) 109:676-683.	
	100	Dec et al., "Idiopathic dilated cardiomyopathy" N. Engl. J. Med. (1994) 331:1564-1575.	
	101	Fucci et al., "Improved results with mitral valve repair using new surgical techniques" Eur. J. Cardiothorac. Sug. (1995) 9:621-627 (Medline Record enclosed herewith.).	
	102	Kameda et al., "Annuloplasty for severe mitral regurgitation due to dilated cardiomyopathy" Am. Thorac. Surg. (1996) 61:1829-1832.	
	103	Khan et al., "Blade atrial septostomy: Experience with the first 50 procedures" Cathet. Cardiovasc. Diagn. (1991) 23:257-262.	
	104	Maisano et al., "The edge-to-edge technique: A simplified method to correct mitral insufficiency" Eur. J. Cardiothorac. Surg. (1998) 13:240-246.	
	105	McCarthy et al. "Tricuspid valve repair with the Cosgrove-Edwards annuloplasty system" Am. Thorac. Surg. (1997) 64:267-268.	
	106	Park et al., "Clinical use of a blade atrial septostomy" Circulation (1978) 58:600-608.	
	107	Reul, Ross M. and Cohn, Lawrence II, Mitral Valve Reconstruction for Mitral Insufficiency, Progress in Cardiovascular Diseases, No. 6, May/June, 1997, pp. 567-599, Vol. XXXIX.	
	108	Ricchl et al. "Linear segmental annuloplasty for mitral valve repair" Ann. Thorac. Surg. (1997) 63:1805-1806.	

Examiner  
Signature

Natasha Pava

Date  
Considered

12/18/06

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

5

of

5

**Complete if Known**

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
NRP	109	Tager et al., "Long-term follow-up of Rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty—Validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty" Am. J. Cardiol. (1998) 81:1013-1016.	
	110	Uchida et al., "Percutaneous cardiomyotomy and valvulotomy with angioscopic guidance" Am. Heart J. (1991) 121:1221-1224.	
	111	Umana et al., "'Bow-tie' mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation" (1997) Surgical Forum pp. 279-280.	
	112	Umana et al., "'Bow-tie' mitral valve repair: An adjuvant technique for ischemic mitral regurgitation" Ann. Thorac. Surg. (1998) 66:1640-1646.	

Examiner  
Signature

Natalia Paur

Date  
Considered

12/18/05

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/613,443
				Filing Date	July 3, 2003
				First Named Inventor	GOLDFARB, ERIC A.
				Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	2	of	2	Attorney Docket Number	020489-000120US

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>2</sup> (if known)				
MRS ↓ ✓	BE	WO	00/59382	A1	10-12-2003	Bjerken		<input type="checkbox"/>
	BF	WO	03/105667	A3	12-24-2003	Tremulis et al		<input type="checkbox"/>
	BG	WO	04/045378	A2	06-03-2004	Lederman		<input type="checkbox"/>
	BH	WO	04/082523	A2	09-30-2004	Zarbatany et al		<input type="checkbox"/>
	BI	WO	04/082538	A2	03-17-2004	Hindrichs et al		<input type="checkbox"/>
	BJ	WO	05/027797	A1	03-31-2005	Erek		<input type="checkbox"/>
	BK	WO	05/032421	A2	04-14-2005	Bloom et al		<input type="checkbox"/>
	BL	WO	05/062931	A2	07-14-2005	Spence et al		<input type="checkbox"/>

Examiner Signature	<i>Natasha Pan</i>	Date Considered	12/18/06
-----------------------	--------------------	--------------------	----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.